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Attorney's Docket No.: 005384.P002

Patent

2001 OCT -3 PM 3:13

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

US PATENT & TRADEMARK

In Re Application of:

OFFICE Examiner: Not Yet Assigned

John J. Dooley, et al.

Art Unit: Not Yet Assigned

Application No.: 09/919,567

Filed: July 30, 2001

For: METHOD AND SYSTEM FOR  
MANAGING SUPPLY CHAIN  
NETWORK

I hereby certify that this correspondence is being deposited  
with the United States Postal Service as first class mail with  
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on 9/28/01  
Date of Deposit  
Leslie Rogan  
Name of Person Mailing Correspondence  
Leslie W. Rogan 9/28/01  
Signature Date

Commissioner for Patents

Washington, D.C. 20231

PETITION FOR REFUND UNDER 37 CFR 1.26

Sir:

Applicants hereby petition for a refund in the filing fee submitted with  
the filing of the above referenced application. The application was filed on July  
30, 2001 with a large entity filing fee. A period of two months has not elapsed  
since the filing date of the application. The refund requested is for a difference  
in the filing fee between a small entity and a large entity. A statement of status  
as a small entity under 37 CFR 1.27 is being filed herewith.

Respectfully submitted,  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: Sept. 28, 2001

Sanjeet Dutta  
Sanjeet Dutta  
Reg. No. 46,145

12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, CA 90025-1026  
(408) 720-8598

\$ 355.00

PATENT & TRADEMARK  
OFFICE  
DIVISION  
OCT -3 01

Applicant or Patentee: John J. Dooley, Xi Li Attorney's  
Serial or Patent No.: 09/919,567 Docket No. 005384.P002  
Filed or Issued: Filed on July 30, 2001  
For: Method and System for Managing Supply Chain Networks

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
37 CFR 1.9 (f) and 1.27(c) - - SMALL BUSINESS CONCERN

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: SAVI TECHNOLOGY  
ADDRESS OF CONCERN: 615 TASMAN DRIVE, SUNNYVALE, CA. 94089-1707

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby certify that to the best of my knowledge and belief rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled Method and System for Managing Supply Chain Networks

by inventor(s) John J. Dooley, Xi Li  
described in

- ☐ the specification being filed herewith  
☒ application serial no. 09/919,567, filed July 30, 2001  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

**and I have reviewed the document that evidences the conveyance of those rights.** That document

- ☒ is being filed herewith.  
☐ was recorded in the Patent and Trademark Office on \_\_\_\_\_, 19 \_\_\_\_  
at reel \_\_\_\_\_ and frame \_\_\_\_\_.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and **no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 347 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e).** NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

[ ☐ ] Individual [ ☐ ] Small Business Concern [ ☐ ] Non-Profit Organization

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

[ ☐ ] Individual [ ☐ ] Small Business Concern [ ☐ ] Non-Profit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: VIKRAM VERMA

TITLE OF PERSON OTHER THAN OWNER: PRESIDENT AND CEO

ADDRESS OF PERSON SIGNING: 615 TASMAN DRIVE SUNNYVALE

SIGNATURE: [Signature] DATE: 28 Sep 2001

CA 94089

**PATENT**

**RECORDATION FORM COVER SHEET  
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TO: The Commissioner of Patents and Trademarks : Please record the attached original document(s) or copy(ies).

**Submission Type**

- ☒ New  
☐ Resubmission (Non- Recordation)

Document ID # \_\_\_\_\_

- ☐ Correction of PTO Error

Reel # \_\_\_\_\_ Frame # \_\_\_\_\_

- ☐ Corrective Document

Reel # \_\_\_\_\_ Frame # \_\_\_\_\_

Attorney Docket No: 005384.P002

**Conveyance Type**

- ☒ Assignment ☐ Security Agreement  
☐ License ☐ Change of Name  
☐ Merger ☐ Other \_\_\_\_\_

*U.S. Government*

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- ☐ Departmental File ☐ Secret File

**Conveying Party (ies)**

☐ Mark if additional names of conveying parties attached

Execution Date  
Month Day Year

Name (1st party) Dooley, John J.

07/27/2001

Name (2nd party) Li, Xi

07/27/2001

Name (3rd party) \_\_\_\_\_

Name (4th party) \_\_\_\_\_

**Receiving Party**

☐ Mark if additional names of receiving parties attached

Name (line 1) Savi Technology

Name (line 2) Corporation of California

Address (line 1) 615 Tasman Drive

Address (line 2) \_\_\_\_\_

Address (line 3) Sunnyvale

California

94089-1707

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

**Domestic Representative Name and Address**

(Complete only if receiving party is not domiciled in the United States)

Enter for the first Receiving Party only.

Name \_\_\_\_\_

Address (line 1) \_\_\_\_\_

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Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

**Correspondent Name and Address****Area Code and Telephone Number** (408) 720-8300Name Sanjeet K. DuttaAddress (line 1) BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLPAddress (line 2) 12400 Wilshire Boulevard, Seventh Floor,Address (line 3) Los Angeles, CA 90025-1026

Address (line 4) \_\_\_\_\_

**Pages**

Enter the total number of pages of the attached conveyance document.

# 4**Application Number (s) or Patent Number (s)**☐

Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number (s)****Patent Number (s)**\_\_\_\_\_  
\_\_\_\_\_  
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\_\_\_\_\_If this document is being filed together with a **new** Patent Application, enter the date the patent application was signed by the first named executing inventor.Month Day Year  
\_\_\_\_\_  
\_\_\_\_\_**Patent Cooperation Treaty (PCT)**Enter PCT application number only if a  
U.S. Application Number has not been  
assigned.

PCT \_\_\_\_\_

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**Number of Properties**

Enter the total number of properties involved.

# 1**Fee Amount****Fee Amount for Properties Listed (37 CFR 3.41):**\$ 40.00

Method of Payment:

Deposit Account

Enclosed ☒Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

**Deposit Account Number:**# 02-2666**Authorization to charge additional fees:**Yes ☒No ☐**Statement and Signature**

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.*

Sanjeet K. Dutta46,145Sanjeet Dutta7/30/01

Name of Person Signing

Registration No.

Signature

Date

Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Attorney's Docket

**ASSIGNMENT**

**PATENT**

No.: 005384.P002 (For Execution Prior To Filing Patent Application)

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We, the undersigned, John J. Dooley and Xi Li, hereby sell, assign, and transfer to Savi Technology a corporation of California, having a principal place of business at 615 Tasman Drive, Sunnyvale CA 94089-1707, ("Assignee"), and its successors, assigns, and legal representatives, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements that are disclosed in the application for the United States patent that has been executed by the undersigned prior hereto or concurrently herewith on the dates indicated below and is entitled METHOD AND SYSTEM FOR MANAGING SUPPLY CHAIN NETWORKS

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and in and to said application and all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications that have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original patents, reissued patents, reexamination certificates, and extensions, that have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application;

agree that said Assignee may apply for and receive a patent or patents for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns, and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney, and other papers; communicate to said Assignee, its successors, assigns, and representatives all facts known to the undersigned relating to said improvements and the history thereof; and generally assist said Assignee, its successors, assigns, or representatives in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements, and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns, and legal representatives; and

covenant with said Assignee, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

**Each Inventor: Please Sign and Date Below:**

<u>7/27</u> , 20 <u>01</u>	<u>John J. Dooley</u>
Date	Name: John J. Dooley
<u>7/27</u> , 20 <u>01</u>	<u>Xi Li</u>
Date	Name: Xi Li
_____, 20____	_____ Name:
Date	Name:
_____, 20____	_____ Name:
Date	Name:
_____, 20____	_____ Name:
Date	Name:

**Each Inventor: Please also list the date that you signed the accompanying DECLARATION AND POWER OF ATTORNEY:**

<u>7/27</u> , 20 <u>01</u>
Date
<u>7/27</u> , 20 <u>01</u>
Date
_____, 20____
Date
_____, 20____
Date
_____, 20____
Date
_____, 20____
Date

State of: \_\_\_\_\_ }  
County of: \_\_\_\_\_ }

**Assignment Document Return Address:**  
SS. BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
12400 Wilshire Blvd., Seventh Floor  
Los Angeles, CA 90025-1026  
(408) 720-8598

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me, \_\_\_\_\_,  
the undersigned Notary Public, personally appeared \_\_\_\_\_  
[ ] personally known to me [ ] proved to me on the basis of satisfactory evidence to be the  
person(s) whose name(s) \_\_\_\_\_ subscribed to the within instrument, and acknowledged  
that \_\_\_\_\_ executed it.  
WITNESS my hand and official seal.

\_\_\_\_\_  
Notary's Signature